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|  |  |                          |  |
|--|--|--------------------------|--|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>Only for new nonprovisional application under 37 C.F.R. § 1.53(b))</small> |  | Attorney Docket No.      | IN-5384  |
|  |  | First Named Inventor     | William C. NORRIS  |
|  |  | Filing Date              | Thursday, September 27, 2001   |
|  |  | Title                    | COATING SYSTEM AND METHOD FOR COATING A SUBSTRATE WITH A POWDER-BASED COATING COMPOSITION INCLUDING A COLOR EFFECT-PROVIDING PIGMENT |
|  |  | Express Mail Certificate | EK894923445US  |

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

1.  Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 28]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Application
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the invention
  - Background of the invention
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C.113) [Total Sheets  ]
5.  Oath or Declaration [Total Sheets  ]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR § 1.63(d))  
(for continuation/divisional with Box 17 completed)
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting
6.  Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application, Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. **Nucleotide and/or Amino Acid Sequence Submission**  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identify of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR§3.73(b) Statement  Power Of Attorney  
(when there is an assignee)
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/ PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16.  other: .....

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment;

Continuation  Divisional  Continuation-in-part (CIP) of prior application No. 0 \_\_\_\_\_ filed on \_\_\_\_\_

Prior application information:

Examiner

Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application from which an oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label  or  Correspondence address below



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PATENT-TRADEMARK OFFICE

|                   |                         |           |                                   |                    |                |
|-------------------|-------------------------|-----------|-----------------------------------|--------------------|----------------|
| Country           | USA                     | Telephone | (248) 948-2021                    | Fax                | (248) 948-2093 |
| Name (print Type) | Anne Gerry Sabourin     |           | Registration No. (Attorney Agent) | 33,772             |                |
| Signature         | <i>Anne G. Sabourin</i> |           | Date                              | September 27, 2001 |                |

## FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997

|                          |  |
|--------------------------|--|
| Attorney Docket No.      | IN-5384  |
| First Named Inventor     | William C. NORRIS et al.   |
| Filing Date              | Thursday, September 27, 2001   |
| Title                    | COATING SYSTEM AND METHOD FOR COATING A SUBSTRATE WITH A POWDER-BASED COATING COMPOSITION INCLUDING A COLOR EFFECT-PROVIDING PIGMENT |
| Express Mail Certificate | EK894923445US  |

**TOTAL AMOUNT OF PAYMENT** \$1,160.00

### METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to change indicated fees and credit any over payments to:

Deposit Account Number 23-3425

Deposit Account Name BASF Corporation

Change Any Additional Fee  Charge the Issue Fee Set in 37 CFR § Required Under 37 CFR §§ 1.16 and 1.17 1.18 at the Mailing of the Notice of Allowance

2.  Payment Enclosed:

Check  Money Order  Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Fee Code Entity Fee (\$)

|     |     |                        |          |
|-----|-----|------------------------|----------|
| 101 | 710 | Utility filing fee     | \$710.00 |
| 106 | 330 | Design filing fee      |          |
| 107 | 540 | Plant filing fee       |          |
| 108 | 790 | Reissue filing fee     |          |
| 114 | 150 | Provisional filing fee |          |
|     |     | SUBTOTAL (2)           | \$710.00 |

#### 2. EXTRA CLAIM FEES

|                    | Extra<br>Claims | Fee from<br>below | Fee Paid        |
|--------------------|-----------------|-------------------|-----------------|
| Total Claims       | 45              | -20** = 25        | x 18 = \$450.00 |
| Independent Claims | 02              | - 3** = 0         | x 80 =          |
| Multiple Dependent |                 | 270               | =               |

\*\*Or number previously paid, if greater; For Reissues, see below

Large Entity

Fee Fee

Code (\$)

|     |     |   |
|-----|-----|---|
| 103 | 18  | Claims in excess of 20                                    |
| 102 | 80  | Independent claims in excess of 3                         |
| 104 | 270 | Multiple dependent claims, if not paid                    |
| 109 | 82  | **Reissue independent claims over original patent         |
| 110 | 22  | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$450.00

### FEE CALCULATION

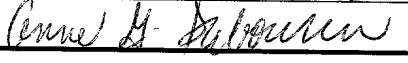
#### 3. ADDITION FEES

| Large Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|--|----------|
| 105                        | 130 Surcharge -late filing fee or oath                             |          |
| 127                        | 50 provisional filing or cover sheet                               |          |
| 139                        | 130 Non-English specification                                      |          |
| 147                        | 2,520 For filing request for examination                           |          |
| 112                        | 920* Requesting publication of SIR prior to Examiner action        |          |
| 113                        | 1,840 Requesting publication of SIR after Examiner action          |          |
| 115                        | 110 Extension for reply within first month                         |          |
| 116                        | 400 Extension for reply within second month                        |          |
| 117                        | 890. Extension for reply within third month                        |          |
| 118                        | 1,510 Extension for reply within fourth month                      |          |
| 128                        | 2,060 Extension for reply within fifth month                       |          |
| 119                        | 310 Notice of Appeal   | *        |
| 120                        | 310 Filing a brief in support of an appeal                         |          |
| 121                        | 270 Request for oral hearing                                       |          |
| 138                        | 1,510 Petition to institute a public use proceeding                |          |
| 140                        | 110 Petition to revive-unavoidable                                 |          |
| 141                        | 1,320 Petition to revive-unintentional                             |          |
| 142                        | 1,320 Utility issue fee (or reissue)                               |          |
| 143                        | 450 Design issue fee   |          |
| 144                        | 670 Plant issue fee  |          |
| 122                        | 130 Petition to the Commissioner                                   |          |
| 123                        | 50 Petition related to provisional application                     |          |
| 126                        | 240 Submission of information                                      |          |
| 581                        | 40 Disclosure Statement  |          |
|                            | Recording each patent  |          |
|                            | Assignment per property (time number of properties)                |          |
| 146                        | 790 Filing a submission after final rejection                      |          |
| 149                        | 790 For each additional invention to be examined (37 CFR 1.129(b)) |          |
| Other fee                  | (specify)  |          |

Reduced By Basic Fee Paid Filing

### 18. CORRESPONDENCE ADDRESS

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|-------------------|---|-----------------------------------|---------------|-----|--------------------|
| Country           | USA   | Telephone                         | (248) 948-202 | Fax | (248) 948-2093     |
| Name (print Type) | Anne Gerry Sabourin   | Registration No. (Attorney Agent) |               |     | 33,772             |
| Signature         |  | Date                              |               |     | September 27, 2001 |

**PATENT**

(Practitioner's Docket No. IN-5384)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

William C. NORRIS  
Josef RADEMACHER

US Serial No. Herewith

Filed: September 27, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: COATING SYSTEM AND METHOD FOR COATING A SUBSTRATE WITH A POWDER-BASED COATING COMPOSITION INCLUDING A COLOR EFFECT-PROVIDING PIGMENT

**Assistant Commissioner of Patents  
Washington, D.C. 20231****EXPRESS MAIL CERTIFICATE**"Express Mail" label number EK894923445US Date of Deposit September 27, 2001

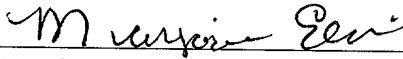
I hereby certify that the following attached paper or fee

|                                     |   |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | <b>Information Disclosure Statement</b> |
| <input checked="" type="checkbox"/> | <b>From PTO-1449</b>                    |
| <input checked="" type="checkbox"/> | <b>Cited References</b>                 |

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)

  
Signature of person mailing paper or fee)

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Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN-5384)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

William C. NORRIS  
Josef RADEMACHER

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: September 27, 2001

Examiner: Not Assigned

For: COATING SYSTEM AND METHOD FOR COATING A SUBSTRATE WITH A  
POWDER-BASED COATING COMPOSITION INCLUDING A COLOR EFFECT-  
PROVIDING PIGMENT

Assistant Commissioner of Patents  
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EK894923 445 US Date of Deposit September 27, 2001

I hereby certify that the following attached paper or fee

Application  
Specification on 19 pages; claims on 08 pages;  
the abstract on 01 page(s); drawings on 00 page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents,  
Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)

Marjorie Ellis

Signature of person mailing paper or fee)

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complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed